

REQUEST FOR PROPOSALS (RFP)
Smart Growth Streets and Emergency Response (EPA-OPEI-0701)

OVERVIEW INFORMATION

AGENCY NAME: U.S. Environmental Protection Agency; Office of Policy, Economics and Innovation; Development, Community and Environment Division (DCED).

FUNDING OPPORTUNITY TITLE: Smart Growth Streets and Emergency Response Request for Proposals (RFP)

ANNOUNCEMENT TYPE: This is an initial announcement of a funding opportunity.

FUNDING OPPORTUNITY NUMBER: EPA-OPEI-0701.

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 66.611, Environmental Policy and Innovation Grants, authorized under Delegation of Authority I-47.

DATES: Proposals must be submitted to U.S. EPA by 5PM, East Coast Time on June 15, 2007. Award announcements are expected to be made by Fall 2007.

EXECUTIVE SUMMARY

USEPA's Development, Community and Environment Division (DCED) focuses on smart growth issues of regional and national significance. Smart growth supports national environmental and public health goals by protecting sensitive watersheds, minimizing water quality impacts from development, reducing air emissions by increasing transportation choices, and encouraging clean-up and sustainable redevelopment of brownfields.

Through this RFP, the EPA seeks to bring together emergency response officials, local government officials, transportation experts, and developers seeking to design smart growth neighborhoods to engage in a problem-solving process around the issue of simultaneously meeting the needs for emergency response with the design of smart growth streets. The goal is to create a solution or set of solutions that have the endorsement of these multiple interests and will be applicable nationally across the U.S. and/or in significant regions of the country. The RFP will also support outreach efforts to educate relevant stakeholders nationally.

EPA expects to award \$150,000 for Phase 1 (years 1 and 2) with the possibility of additional, incremental funding of up to \$500,000 in total over a five year project period. Funding for future years is dependent on funding availability, agency priorities and applicant performance. EPA may award up to three assistance agreements. Applicants are strongly encouraged to submit proposals for Phase 1 activities, expected to cover years 1 and 2 of the agreement, for approximately \$150,000 or less. Applicants should provide detailed descriptions of the activities proposed for Phase 1 under this competition, as well as a description of what follow-up activities would be conducted in Phase 2 (years 3, 4 and 5) if additional funding is made available.

FULL TEXT OF ANNOUNCEMENT

Section 1: FUNDING OPPORTUNITY DESCRIPTION

1.1. Project Summary

USEPA's Development, Community, and Environment Division (DCED) focuses on smart growth issues of regional and national significance. Smart growth development practices support national environmental goals by protecting sensitive habitats and watersheds, reducing air emissions by increasing transportation choices, and encouraging cleanup and sustainable redevelopment of brownfields.

Smart growth is development that is characterized by a common set of principles:

- mix land uses;
- take advantage of compact building design;
- create a range of housing opportunities and choices;
- create walkable neighborhoods;
- foster distinctive, attractive communities with a strong sense of place;
- preserve open space, farmland, natural beauty, and critical environmental areas;
- strengthen and direct development towards existing communities;
- provide a variety of transportation choices;
- make development decisions predictable, fair, and cost-effective; and
- encourage community and stakeholder collaboration in development decisions.

Local governments and developers are increasingly interested in using smart growth techniques to create new neighborhoods. A fundamental part of smart growth development is the design of the street network. To make the roadway system safe and inviting for pedestrians, cyclists and others, smart growth street design is typically characterized by: narrower widths, tighter turning radii, and on-street parking. Communities are also pursuing narrower street design in an effort to reduce on-site stormwater run-off and meet their water quality goals.

However, in many places across the country, as developers and city officials try to design these types of streets, they are finding that local fire/emergency response officials will not approve them. Emergency responders express concern that the narrower streets may impede access and maneuverability for their vehicles and in turn, may increase response time. In some instances, communities have been unable to move forward with smart growth plans because of emergency response concerns.

The purpose of this RFP is to successfully reconcile these competing, legitimate goals—to find ways that developments with narrow street designs can work successfully and be acceptable for approval by emergency response officials. Through this RFP the EPA seeks to bring together emergency response officials, local government officials, transportation experts, and developers seeking to design smart growth neighborhoods to engage in a problem-solving process around this issue. The goal is to create a solution, or set of solutions, that have the endorsement of these multiple interests that will be applicable in communities around the country and/or significant sub-regions of the country. If such solutions can be found, this RFP will also support substantial outreach efforts to educate relevant stakeholders nationally.

Proposals must include Activities 1 – 4 below and must specify the content and approach for each activity.

Activity 1: Discussion Roundtables

Applicants must describe their approach to preparing materials for and convening (either through a series of smaller focus groups/roundtables or larger workshop formats) representatives from all relevant perspectives (defined below) to:

- a) Determine the current state of the practice and identify the key challenges;
- b) Assess the current strategies available for addressing the challenges and determine if critical research needs to be conducted in order to address the challenges;
- c) Determine whether existing practices and techniques are sufficient and how these could be more fully developed for widespread dissemination.

For each meeting, the grantee must produce a document summarizing the findings from the meeting. This must include: the current state of the practice and the major challenges; successful practices and techniques for addressing these challenges; and high priority research needs.

Participants in these meetings should represent the types of perspectives and organizations described below. It is important that participants play an active role in identifying challenges and opportunities, and where applicable, be in a position to facilitate policy changes within their organizations.

From the Fire/Emergency Response Perspective:

- a) National organizations representing the concerns of state and local fire marshals, chiefs, district directors, and emergency responders;
- b) Similar organizations from the state and local level (representing those places that have successfully resolved these issues and some who are in the midst of dealing with them);
- c) Local fire and rescue professionals (representing those places that have successfully resolved these issues and some who are in the midst of dealing with them);
- d) Police organizations where relevant;
- e) Fire equipment manufacturers.

From the Local Government Perspective:

- a) National organizations capable of reaching the appropriate units of local government that may confront these issues;
- b) Representatives from local code enforcement/development approval departments in areas that have successfully dealt with smart growth street and emergency response issues.

From the Transportation Perspective:

- a) Transportation engineers with expertise in context sensitive street design and design features that might accommodate larger vehicles and address any safety concerns.

From the Developer Perspective:

- a) At least one national representative who can speak to the importance of this issue for developers across the country;
- b) At least 3 developers/development firms who have successfully worked with local governments and fire marshals to accommodate smart growth streets.

Proposals must address the how the meeting(s) will be structured and discuss the benefits of the recommended approach. The meeting(s) must be either national or regional (e.g. Midwest, Southeast, Pacific Northwest, etc.) in scope, not local or limited to a single state. The number of national or regional meetings under this activity should not exceed five. Proposals must discuss what specific organizations (i.e. name and locale) will be invited and how they reflect the expertise and influence needed to make changes within the professional fields they represent. Proposals must also include an annotated draft agenda that discusses the topics to be addressed at each meeting.

Activity 2: High Priority Research

Applicants should describe how they will use the findings from the meetings to prioritize and develop a workplan for the most pressing research areas in order to move the issue forward. As part of EPA's substantive involvement, the EPA Project Officer for the awarded assistance agreement will work with the applicant and an advisory group of technical experts from the meeting(s) to prioritize the research needs and develop the workplan for carrying out this research. The research must advance the goal of finding ways that developments with narrow street designs can work successfully and be acceptable for approval by emergency response officials. Up to five research topics may be pursued under this cooperative agreement and all selected topics must be able to be adequately addressed within a 30-month timetable.

While specific research needs will be identified through the meetings, the applicant must suggest a list (no fewer than 3) of potential research topics in the proposal and how they support the goal of this RFP. The applicant should propose how they will use and structure an advisory group. The applicant should also discuss how research approaches will be determined and how projects will be prioritized.

Activity 3: Current Best Practices

Applicants must describe how they will use the findings from the meetings to identify practices and techniques that could be applied in many areas of the country and made available for immediate distribution and use. Proposals must suggest some of the possible practices and techniques; how they could be applied to areas nationwide; and the form the products illustrating these practices would take (e.g. street cross sections with design standards, model code language, negotiated agreements.)

Activity 4: Training and Outreach

Applicants must describe their approach to conducting training and outreach at the regional and/or national level. These activities would be conducted after the completion of Phase 1 through incremental funding. Training plans should specify who the target audiences are and the best ways to reach them. These efforts could be conducted in a variety of ways, including, but not limited to: regional on-site trainings, web-seminars, presentations at national conferences, issue specific websites. Proposals should address the format(s) of training and outreach activities and what products will be developed to support the training and outreach. The applicant must describe the benefits of their proposed approach.

Applicants should structure their proposed work in phases. Phase 1 will last for two years, and at a minimum, the following products are required under the first phase:

- convening all meetings and documenting meeting findings as described in Activity 1;
- completing a prioritized list of research needs and a workplan for carrying out that research as described in Activity 2, and;
- identifying replicable practices and techniques and putting at least two of these in a format where they can be immediately distributed as described in Activity 3.

Phase 2 will cover years 3, 4, and 5. DCED expects to award \$150,000 for the first phase with the possibility of additional, incremental funding of up to \$500,000 in total over a five year project period. Funding for future years is dependent on funding availability, agency priorities and applicant performance.

1.2. Expected Results

In compliance with EPA Policy Order 5700.7, the outputs and outcomes of applicants' proposals must support EPA's strategic objective (in the Agency's 2003 – 2008 Strategic Plan) to sustain, clean-up, and restore communities and the ecological systems that support them. The term "output" refers to an activity or effort and associated work product that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during the funding period. Examples of outputs include but are not limited to: the number of stakeholders attending meeting(s); the development of proceedings, reports, and fact sheets; research conducted as a result of meetings; and/or training modules and the number of individuals trained.

The term "outcome" means changes or benefits resulting from activities and outputs. Outcomes may be environmental, behavioral, health-related or programmatic in nature, but must be quantitative. There are two major types of outcomes - end outcomes and intermediate outcomes. End outcomes are the desired end or ultimate results of a project or program. They represent results that lead to environmental/public health improvement. A change in water quality and resultant change in human health or environmental impacts are examples of end outcomes.

Intermediate outcomes are outcomes that are expected to lead to end outcomes but are not themselves “ends.” Given that the end outcomes of an assistance agreement may not occur until after the assistance agreement funding period, intermediate outcomes realized during the funding period are an important way to measure progress in achieving end outcomes. For example, advancement in the knowledge of smart growth techniques can be viewed as an intermediate outcome to measure an end outcome of restoring communities and the ecological systems that support them. Other end outcomes might include water quality improvements due to the adoption of narrower street standards or air quality improvements due to smart growth street networks that encourage alternative modes of travel. Applicants’ proposals must define expected outputs and outcomes (See Section 4.2.)

1.3. Required Smart Growth Expertise

Successful applicants must demonstrate expertise in smart growth and experience working collaboratively to find common ground on growth and development issues. Smart growth is development that benefits the environment, public health, the economy, and the community. It is characterized by a common set of development principles:

- mix land uses;
- take advantage of compact building design;
- create a range of housing opportunities and choices;
- create walkable neighborhoods;
- foster distinctive, attractive communities with a strong sense of place;
- preserve open space, farmland, natural beauty and critical environmental areas;
- strengthen and direct development towards existing communities;
- provide a variety of transportation choices;
- make development decisions predictable, fair and cost-effective;
- encourage community and stakeholder collaboration in development decisions.

Additional background information about smart growth can be found at:

<http://www.epa.gov/smartgrowth>.

1.4. Alignment of This Funding Solicitation With EPA’s Strategic Plan

The Development, Community and Environment Division (DCED) in U.S. EPA’s Office of Policy Economics and Innovation is issuing this request for proposals (RFP). DCED focuses on smart growth issues of regional and national significance. Smart growth development practices support integrated environmental management approaches that both protect local ecosystems and support ecologically compatible development. These practices support national environmental and public health goals by protecting sensitive watersheds, minimizing water quality impacts from development, reducing air emissions by increasing transportation choices, and encouraging clean-up and sustainable redevelopment of Brownfields. Through its focus on smart growth, this solicitation supports EPA’s strategic objective to sustain, clean up, and restore communities and the ecological systems that support them (Objective 4.2 in EPA’s 2003-2008 Strategic Plan).

Section 2: AWARD INFORMATION

2.1. Expected size, number and scope of awards

EPA expects to award \$150,000 for Phase 1 (years 1 and 2) with the possibility of additional, incremental funding of up to \$500,000 in total over a five year project period. Funding for future years is dependent on funding availability, agency priorities and applicant performance.

Under this funding cycle, U.S. EPA expects to have approximately \$150,000 available for proposals. EPA may award up to three assistance agreements. Applicants are strongly encouraged to submit proposals for Phase 1 activities (years 1 and 2 of the agreement), for approximately \$150,000 or less. Applicants should provide detailed descriptions of the activities proposed for Phase 1 under this competition, as well as a description of what follow-up activities would be conducted in Phase 2 (years 3, 4 and 5) if additional funding is made available. U.S. EPA reserves the right to reject all applications and make no awards.

2.2. Eligibility of existing projects

Applications from existing projects are eligible to compete with applications for new awards.

2.3. Type of assistance agreements to be awarded

Awards will be in the form of cooperative agreements. Cooperative agreements entail substantive involvement in the funded project by U.S. EPA. Substantive involvement activities will include: US EPA review and approval of project phases and workplans before they are initiated; participation in and collaboration on selected phases of the work; prioritization and selection of research topics; in accordance with 40CFR 31.36(g) review proposed procurements, and/or review and approval of all draft and final products.

2.4. Anticipated start dates and period of performance

The expected time span for any cooperative agreements awarded under this RFP will be from Fall 2007 through Fall 2012.

2.5. Partial funding and additional awards

EPA reserves the right to partially fund proposals/applications by funding discrete activities, portions, or phases of the proposed project. If EPA decides to partially fund the proposal/application, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal/application, or portion thereof, was evaluated and selected for award, and that maintains the integrity of the competition and the evaluation/selection process. EPA also reserves the right to make additional awards under this solicitation consistent with EPA policy if additional funds become available. Any additional award selections will be made no later than four months after the original selection decisions.

Section 3: ELIGIBILITY INFORMATION

3.1. ELIGIBLE APPLICANTS

Eligible applicants under the CFDA 66.611 are "States, territories, Indian Tribes, interstate organizations, intrastate organizations, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and individuals."

Individuals must demonstrate the same level of competence and meet the same requirements as any other eligible applicant. Applicants must be located in, and project activities must be conducted within, the United States, the Commonwealth of Puerto Rico, or a territory or possession of the United States. Nonprofit organizations described in section 501 (c) (4) of the Internal Revenue Code that engage in lobbying activities as defined in the Lobbying Disclosure Act of 1995 are not eligible to apply. For-profit organizations are not eligible to apply. Applications from ineligible applicants will not be considered.

3.2. COST-SHARING OR MATCHING

There are no match or cost-sharing requirements. However, the effectiveness with which the project budget uses EPA funds and leverages matching funds will be considered when proposals are evaluated. Matching funds can include cash or in-kind contributions from the applicant or from project partners. Any dollars counted towards a formal match must be for allowable costs. Allowable costs for nonprofit organizations are defined in OMB circular A-122; allowable costs for public entities are defined in OMB circular A-87. Applicants proposing to use matching funds must document when the funds will be available and what source they are from (see Section 4.2, "confirmation of partner participation and/or match"). If matching funds are not documented in the proposal, they will not be considered in evaluating the proposal.

3.3. OTHER REQUIREMENTS

Only one application will be accepted per applicant. To be eligible, applicants must meet the eligibility criteria under section 3.1 and must meet all threshold criteria listed below. Threshold

criteria will be applied on a pass/fail basis. Failure to meet any one of them will render an application ineligible. Ineligible applications will not be reviewed. Applicants will be notified within 15 calendar days of ineligibility determination.

U.S. EPA will use the smart growth definition outlined in Section 1 ("Funding Opportunity Description") to apply Threshold Criteria 1 and 2.

Threshold Criterion 1: Smart Growth Focus

The proposal must directly respond to the issues, subjects, and activities targeted by this RFP and explained under the "Funding Opportunity Description" section. The proposed activities and products must result in or encourage smart growth. The proposed activities and products also must support EPA's strategic objective to sustain, clean up, and restore communities and the ecological systems that support them.

Threshold Criterion 2: Smart Growth Expertise and Commitment

The applicant must demonstrate clear understanding of the smart growth issues addressed by the project and must evidence a firm commitment to the principles of smart growth.

Threshold Criterion 3: Allowable Activities

The activities proposed must be authorized under one or more of the following U.S. EPA grant authorities: Clean Air Act section 103 (b) (3); Clean Water Act section 104 (b) (3); Solid Waste Disposal Act section 8001, as amended; Toxic Substances Control Act section 10; Federal Insecticide, Fungicide and Rodenticide Act section 20, as supplemented by P.L. 106-74; and Safe Drinking Water Act sections 1442 (a) and (c). These statutes authorize grants for research, investigations, experiments, training, demonstrations, surveys and studies. The project activities must advance the state of knowledge or transfer information. The term "research" may include the application of established practices when they contribute to learning about an environmental concept or problem. The term "demonstrations" can encompass the first instance of a pollution control or prevention technique, or an innovative application of a previously used method.

Threshold Criterion 4: Environmental Focus

The project's general focus must be one that is specified in the statutes listed under threshold criterion 3. For most statutes, the project must address the causes, effects, extent, prevention, reduction, and elimination of air, water, or solid/hazardous waste pollution. In the case of grants under the Toxic Substances Control Act or the Federal Insecticide, Fungicide and Rodenticide Act, the project must "(carry) out the purposes of the Act." The overarching focus of the proposed project must be on the statutory purpose of the applicable grant authorities, which in most cases is "to prevent or control pollution." Proposals must clearly describe how the activities proposed will prevent or control pollution.

Threshold Criterion 5: Serve a Public Purpose

Proposals must clearly demonstrate that the proposed activities will (1) be of primary benefit to the applicant organization (i.e. support their overall mission and goals), and (2) serve a non-federal audience.

Threshold Criterion 6: Complete Applications That Are Submitted on Time

Applications must comply with the mandatory provisions outlined in sections 4.2 ("Form and Content of Applications") and 4.3 ("Submission Dates and Times").

Section 4: APPLICATION AND SUBMISSION

4.1. How To Get Application Materials

This announcement provides all of the instructions needed for preparing an initial proposal. If applicants are submitting a paper copy of their proposal, there are no standardized federal application forms or kits to be used at this stage. However, there are format and content requirements which are described below under section 4.2, "Content and Form of Application

Submission.” Applicants also have the option to apply electronically through www.grants.gov. Anyone filing electronically will be required to fill out the cover sheet of a standard federal form (SF 424) electronically. Requirements for electronic submissions are discussed in section 4.3.

Paper copies of this announcement can be obtained by contacting the EPA personnel listed in section 7. Electronic copies of this announcement will be available on the DCED web site (www.epa.gov/smartgrowth).

Section 4.2: FORM AND CONTENT OF APPLICATIONS

To be considered complete and eligible for review, all proposals must include (a) a cover letter; (b) a summary information page; (c) a project description; (d) a budget and budget narrative; (e) supplemental documentation of staff expertise, approach to awarding subawards and subgrants and programmatic capability; (f) confirmation of partner participation and/or match (if applicable), and (g) a description of related funding. Project descriptions should not exceed 12 pages (see below for additional details). The following format is required for all proposals:

4.2(a). Cover letter (does not count against page limit)

The cover letter that accompanies your proposal must be signed by an official with the authority to commit your organization to the project and should be written on your organization's official letterhead.

4.2(b). Summary information page (does not count against page limit)

The summary information page should be one-page long and include the following information:

- the title and number of this request for proposals (EPA-OPEI-0701)
- project title and location
- applicant name, address, telephone and fax numbers, and e-mail address
- name and title of project contact (including how to reach if different from above)
- type of applicant organization (e.g., nonprofit, local government, state government, etc.)
- how you first learned of this RFP (e.g., reviewing www.fedgrants.gov, colleague referral, etc.)
- summary budget information (amount requested from U.S. EPA; amount and source of any matching funds)
- 5 to 10 line abstract of the proposal

4.2(c). Project description (no longer than 12 page sides)

The project description must provide a concise overview of the project. It should include a preliminary workplan outlining all major tasks, products, timetables and expected outputs and outcomes (including environmental results) for the life of the project. The narrative must address how the proposal meets eligibility, threshold and selection criteria and how project results will be measured. If other project partners or funding sources are involved, their role and contribution must be clearly defined and documented.

In reviewing the project description, reviewers will not consider any pages over the 12 page side limit. Project descriptions must use no smaller than 10 point type, and should have page margins all-around of at least one inch.

4.2(d). Budget and budget narrative (does not count against page limit)

The project budget must include all relevant direct costs (e.g., personnel, fringe benefits, travel, equipment, supplies, and contractual). Indirect costs must also be included. Entries under each category must be explained in a budget narrative.

4.2(e). Supplemental Documentation (does not count against page limit)

Applicants must include supplemental information regarding project staff, planned subgrants and subawards, and programmatic capability.

Staff profiles: The applicant must include short profiles of all principal staff who will have a major role in the project. Where applicable, this includes principal staff from partner organizations. These profiles must specifically address each individual's experience with smart growth issues and their areas of expertise related to the project. These profiles will be used to help assess whether the applicant meets threshold criteria related to smart growth expertise.

Subgrants and subawards: Subgrants and subawards may be used to fund partnerships with non-profit and governmental entities. If applicants plan to award subgrants or subawards, their supplemental documentation must include a description of the award process they will use.

Programmatic capability (including past performance and experience reporting on environmental results): Applicants must also include supplementary information documenting their programmatic capability and their experience measuring and reporting on project performance and environmental results (see Section 5.1). This should include a list of similar projects funded by EPA and any other federal agencies in the past 3 years. For each project, applicants should discuss their performance history. This includes how the projects were conducted and completed, whether all goals and objectives were met, what the final products and results were, and what their history was of reporting their progress towards achieving expected results (e.g., outcomes and outputs). If there were progress issues, applicants should demonstrate how well they documented what the issues were and how they were resolved. If applicable, supplementary information on programmatic capability should also include discussing adverse audit or grants administration findings for the 3 years preceding application under this solicitation. For each project included in the section on programmatic capability applicants must provide contacts for EPA to obtain additional information. If applicants have not received federal funding before, they must provide other information that demonstrates their ability to successfully manage grant funds. This might include, but is not limited to, administration of programs funded through state grants or foundations.

4.2(f). Confirmation of partner participation and/or match (does not count against page limit)

Applicants who are partnering with other organizations, agencies or institutions must include a letter from the partner, on partner letterhead, indicating the partner's role in the project. Each partner letter must be signed by an individual with the authority to commit the partner to the project. This is mandatory if the partner is contributing funds or in-kind services to the project. Letters confirming partner participation must be included in the initial proposal package and will not be accepted separately. Proposals relying on partner participation which are missing documentation of that participation will be evaluated as if the undocumented partners were not involved in the project.

If an applicant is planning on awarding EPA funds received under this solicitation to a proposed partner, competitive procurement requirements apply. Proposed partnerships of this kind must identify which eligible organization (defined in Section 3.1) will be the recipient of the assistance agreement, and whether any eligible organization(s) being brought in as a partner will receive subawards, subgrants, or be considered as contractors. Including the name of the organization you intend to partner or contract with in your initial proposal is not sufficient documentation of competition. (see Section 4.5, "Funding Restrictions", for additional information).

4.2(g). Description of related funding (does not count against page limit)

Building on the programmatic capability section, if applicants have received funding in the past 3 years to conduct related projects or for activities related to the current proposal, they must (1) provide a list describing the projects and identifying the funders and (2) explain how EPA funds awarded under this solicitation will complement completed, current or planned activities being supported by other sources. This includes projects supported by other US EPA programs.

4.2(h). Additional information regarding how applications should be submitted and what will happen following selection

If applicants are submitting paper applications, they must submit one original and four copies of their initial proposal (as defined above.) If applicants are submitting electronically through www.grants.gov, they must follow the directions in section 4.3 below. Fax and direct email submissions will not be accepted.

This RFP is soliciting initial proposals. Following selection, successful applicants will be required to complete a formal application for federal assistance (which will include standard federal forms and associated documentation as well as a more detailed project narrative and workplan). These formal application materials should not be submitted unless requested by EPA. Applicants should be aware that there may be a very quick turnaround required (e.g., 2 to 3 weeks) if they are asked to submit a formal request for funding assistance.

4.2(i). Requirement for Dun and Bradstreet Number

All assistance agreement recipients must have a Dun and Bradstreet Data Universal Numbering System (DUNS) number on their formal SF424 applications. A DUNS number can be obtained by calling 1-866-705-5711. A DUNS number is not required for initial proposals submitted in paper copy. A DUNS number is required if you are submitting your proposal electronically.

4.2(k) Confidential Business Information

In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application/proposal as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions of applications/proposals they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure.

Section 4.3: INSTRUCTIONS FOR ELECTRONIC SUBMISSIONS USING WWW.GRANTS.GOV

Applicants may choose to submit their proposals electronically through www.grants.gov. If you wish to apply electronically via Grants.gov, the electronic submission of your proposal/application must be made by an official representative of your institution who is registered with Grants.gov and authorized to sign applications for Federal assistance. For more information, go to <http://www.grants.gov> and click on "Get Registered" on the left side of the page. *Note that the registration process may take a week or longer to complete.* If your organization is not currently registered with Grants.gov, please encourage your office to designate an AOR and ask that individual to begin the registration process as soon as possible.

To begin the application process under this grant announcement, go to <http://www.grants.gov> and click on the "Apply for Grants" tab on the left side of the page. Then click on "Apply Step 1: Download a Grant Application Package and Instructions" to download the PureEdge viewer and obtain the application package and instructions for applying under this announcement using grants.gov. You may retrieve the application package and instructions by entering the Funding Opportunity Number, EPA OPEI-0701, or the CFDA number (CFDA 66.611), in the space provided. Then complete and submit the application package as indicated. You may also be able to access the application package by clicking on the button "How To Apply" at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the "Find Grant Opportunities" button on the left side of the

page and then go to Search Opportunities and use the Browse by Agency feature to go to: EPA opportunities).

Application/proposal materials submitted through grants.gov will be time/date stamped electronically.

If you have any technical difficulties while applying electronically, please refer to <http://www.grants.gov/help/help.jsp>.

4.3(a): APPLICATION MATERIALS FOR ELECTRONIC SUBMISSIONS

If applying through www.grants.gov, all of the application materials described below must be submitted:

1. Application for Federal Assistance (SF 424). Complete form on www.grants.gov. No attachments necessary.
2. Project Narrative Attachment Form. Under this form, the following documents will need to be attached:
 - Cover letter (see Section 4.2(a))
 - Summary Information page (see Section 4.2(b))
 - Project description (see Section 4.2(c)).
3. Budget Narrative Attachment Form. Under this form, the budget and budget narrative (See Section 4.2(d)) will need to be attached.
4. Other Attachment Form. Under this form, the following documents will need to be attached:
 - Supplemental Documentation (See Section 4.2(e))
 - Confirmation of partner participation and/or match (See Section 4.2(f))
 - Description of related funding (See Section 4.2(g)).

Applicants should submit attached documents in Microsoft Word format or in Portable Document Format (PDF). If submitting a letter(s) confirming partner participation, which requires a signature and official letterhead, applicants should attach a PDF document with an electronic signature. Electronic proposals which rely on partner participation that is not documented in the electronic submission will be evaluated as if the undocumented partner were not involved in the project.

4.3(b): ELECTRONIC APPLICATION PREPARATION AND SUBMISSION INSTRUCTIONS

This section discusses how applicants should prepare, attach, and submit all documents on the Grants.gov website. EPA encourages all applicants applying electronically to view the training demonstration on "How to Complete an Application Package," available at: http://www.grants.gov/images/Application_Package.swf.

On the www.grants.gov Grant Application Package Page, there is a "Mandatory Documents" box. In this box, there are four items: Application for Federal Assistance (SF424), "Project Narrative Attachment Form," "Budget Narrative Attachment Form," and "Other Attachment Form." The paragraphs below describe what goes into each of those forms.

For the Application for Federal Assistance (SF 424), applicants must click on the form and then click "Open Form" below the "Mandatory Documents" box. All fields highlighted in yellow must be completed. Optional fields and completed fields will appear in white. An error message will appear if information in the field is incomplete or invalid. Click "Save" when the form is completed. When the document is completed, click on the name of the completed form in the "Mandatory Documents" box, then click on the button that says "Move Form to Submission List." This action will move the document to the "Mandatory Completed Documents for Submission."

For the remaining required items, electronic files will need to be attached to the appropriate forms. These documents should be prepared on the applicant's computer and saved as an MS

Word or PDF file. When ready to attach to the application package, use the following instructions:

Click on the "Project Narrative Attachment Form" and open the form. Click "Add Mandatory Project Narrative File" and then individually attach each of the required documents (cover letter, summary information page, and project description), using the window that appears. Click on "View Mandatory Project Narrative File" to view. Enter a brief descriptive title of the project (no longer than 40 characters) in the space beside "Mandatory Project Narrative File Filename." This must be done for each attached document. Once the necessary documents are attached, click "Close Form." Return to the "Grant Application Package" page, select the "Project Narrative Attachment Form" and click "Move Form to Submission List." The form should now appear in the box that says, "Mandatory Completed Documents for Submission."

To attach the budget and budget narrative, click on the "Budget Narrative Attachment Form" and follow the steps outlined above.

To attach the required supplemental documentation, confirmation of partner participation and/or match, and description of related funding, click on the "Other Attachment Form" and follow the steps detailed above.

Once all of the forms/attachments appear in the "Mandatory Completed Documents for Submission," click the "Save" button that appears at the top of the Web page. An application package is similar to a single file, made up of the cover page and (possibly) many forms. **Data at the form level will be retained when you close a form.** Although data at the form level will be saved, the applicant must click the save button to ensure that the entire application package is saved. If the individual preparing the application is not the Authorized Organization Representative (AOR), he/she will need to share the file with the AOR for submission through www.grants.gov. This can be accomplished by either giving the AOR access to the files through a shared drive or emailing the entire package. Only the AOR can submit the application package to EPA through www.grants.gov. All other software programs should be closed before attempting to submit the application package through Grants.gov.

In the "Application Filing Name" box, the AOR should enter the organization's name (abbreviate where possible). The filing name should not exceed 40 characters. From the "Grant Application Package" page, the AOR may submit the application package by clicking the "Submit" button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the application package again. It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.

If you have technical difficulties while applying electronically, refer to <http://www.grants.gov/CustomerSupport> or call 1-800-518-4726.

Section 4.4: SUBMISSION DATES AND TIMES

U.S. EPA must receive proposals by 5 PM East Coast time on June 15, 2007. No late proposals will be accepted. Postmarks or meter stamps are not sufficient documentation of on-time delivery. Proposals submitted electronically through Grants.gov will be time/date stamped electronically and are subject to the same deadline.

Applicants will not be automatically notified regarding whether their proposals were received.

Section 4.5: INTERGOVERNMENTAL REVIEW

All applicants should be aware that formal applications for federal assistance (i.e., SF 424 and associated documentation as described above) may be subject to intergovernmental review under Executive Order 12372, "Intergovernmental Review of Federal Programs." Applicants may

contact their state's Single Point of Contact for further information. There is a list of these contacts at the following web site: <http://whitehouse.gov/omb/grants/spoc.html>.

Section 4.6: FUNDING RESTRICTIONS

EPA awards funds to one eligible applicant as the “recipient,” even if other eligible applicants are named as “partners,” “co-applicants,” or members of a “coalition” or “consortium.” The recipient is accountable to EPA for the proper expenditure of funds. For-profit organizations are not eligible for subawards or subgrants under this announcement but may enter into procurement contracts with recipients.

Funding may be used to acquire services or fund partnerships, provided the recipient follows procurement, subaward, or subgrant procedures contained in 40 CFR Parts 30 or 31, as applicable. Successful applicants must compete contracts for services and products and conduct cost and price analyses to the extent required by these regulations. The regulations also contain limits on compensation for consultants. Applicants are not required to identify contractors or consultants in their proposals. The fact that a successful applicant has named a specific contractor or consultant in a proposal EPA approves does not relieve the applicant of its obligation to comply with competitive procurement requirements.

Subgrants and subawards may be used to fund partnerships with non-profit and governmental entities. Successful applicants cannot use subgrants or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services. The nature of the transaction between the recipient and the subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance (see Subpart B Section .210 of OMB Circular A-133, and the definitions of “subaward” at 40 CFR 30.2 (ff) or “subgrant” at 40 CFR 31.3 as applicable).

EPA encourages applicants to compete any subgrants they award. As stated under Section 4.2(e), applicants must provide information on the competitive process they will use if they plan to award subgrants. The recipient must administer the assistance agreement, is accountable to EPA for proper expenditure of the funds, and will be the point of contact for the partnership. Subrecipients are accountable to the recipient for proper use of EPA funds.

Funding is only available for the activities authorized under one or more of the U.S. EPA grant authorities cited in Section 3.3, threshold criteria 3 and 4 (“allowable activities” and “environmental focus”). Funding will not be permitted for lobbying, entertainment expenses, or other unallowable costs under the OMB circulars. Allowable costs for nonprofit organizations are defined in OMB circular A-122, for public entities in OMB circular A-87, and for universities in OMB circular A-21. Pre-award costs and equipment costs are only allowable with the written consent of EPA.

Any program income generated under assistance agreements awarded under this solicitation must be applied to eligible activities under the award.

Section 4.7. HARD COPY SUBMISSION REQUIREMENTS

Delivery address for paper proposals

The delivery address for submitting your proposal will vary depending on whether you are mailing it or arranging for hand delivery.

If you are sending your proposal via hand delivery (e.g., UPS, Federal Express, courier or some other means) send it to:

Mary Kay Bailey
USEPA—West Building
1301 Constitution Avenue NW
Room 1416K

Washington, DC 20004

If you are mailing your proposal, send it to:

Mary Kay Bailey
USEPA
1200 Pennsylvania Avenue NW
Mailcode 1807T
Washington, DC 20460

Please note that there may be substantial delays in conventional mail service to U.S. EPA due to heightened security screening.

4.8: PRE-PROPOSAL/APPLICATION ASSISTANCE AND COMMUNICATIONS

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria.

Applicants are responsible for the contents of their applications/proposals. However, EPA will respond in writing to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement. Answers to frequently asked questions will be posted on the U.S. EPA smart growth website (www.epa.gov/smartgrowth) so that all applicants will have the opportunity to review them.

Section 5: APPLICATION REVIEW INFORMATION

5.1: SELECTION CRITERIA

If the proposal meets the eligibility and threshold criteria articulated in Section 3.1 and 3.3 above, it will be evaluated against the following selection criteria:

Criterion	Maximum Points Per Criterion (with weighting)
1. Degree to which the applicant has effectively partnered with relevant, diverse organizations in order to a) secure endorsement for recommended techniques and practices; and b) provide the necessary technical expertise.	5
2. Degree to which the applicant demonstrates expertise and experience in the smart growth issues associated with this RFP.	5
3. Degree to which the proposing organization is an appropriate representative for the issues dealt with in the assistance agreement, is likely to be viewed as an authority on the subject, or is partnering with an organization that meets these requirements. In evaluating this criterion, EPA will take into account the applicant's ability to reach a national audience with the tools, practices and techniques developed under the assistance agreement.	5
4. Degree to which the applicant demonstrates excellence with regard to the	10

proposed approach for each activity area.	
5. Degree to which the project budget effectively uses EPA funds. In evaluating budget effectiveness, EPA will take into account how much of the funding requested from EPA will be used for activities directly related to the project as opposed to overhead and indirect expenditures.	5
6. Degree to which the project effectively leverages and uses matching funds. Under this criteria, applicants will be evaluated based on the extent they demonstrate (i) how they will coordinate the use of EPA funding with other Federal and/or non Federal sources of funds to leverage additional resources to carry out the proposed project(s) and/or (ii) that EPA funding will compliment activities relevant to the proposed project(s) carried out by the applicant with other sources of funds or resources. Applicants may use their own funds or other resources for a voluntary match or cost share if the standards at 40 CFR 30.23 or 40 CFR 31.24, as applicable, are met. Only eligible and allowable costs may be used for matches or cost shares. Other Federal grants may not be used as matches or cost shares without specific statutory authority (e.g. HUD's Community Development Block Grants.)	5
7. Quality of approach to measuring project results. Under this criterion, EPA will evaluate the applicant's plan for measuring outputs and outcomes. In this context, "outputs" are activities, efforts, or work products that: (1) will be produced by a specific date; and (2) are directly related to an environmental goal or objective. Outputs can be quantitative or qualitative and must be measurable. "Outcomes" are the results of carrying out a project. Outcomes may be environmental, behavioral, health-related or programmatic, and must be quantifiable.	5
8. Environmental results past performance. Under this criterion, applicants will be evaluated based on how well they documented and/or reported on their progress towards achieving the expected results (e.g., outcomes and outputs) under Federal agency assistance agreements performed within the last three years, and if such progress was not made whether the applicant adequately documented and reported why not. If applicants have not received federal funding before, they must provide other information that demonstrates their experience in this area. Note: In evaluating applicants under this factor, EPA will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant).	5
9. Level of programmatic capability. Proposals will be rated based on the management capabilities of an organization. Applicants must submit information related to this in their supplemental information. In assessing this criterion, EPA will evaluate the applicant's ability to successfully manage a project. EPA will consider factors such as: (1) past performance completing other projects of similar size, scope and focus (funded with federal or non-federal dollars); (2) organizational capacity and expertise as measured by the qualifications of key personnel and the resources available to the project; (3) demonstrated ability to execute the proposed workplan; (4) history of meeting reporting requirements and submitting acceptable final reports (to federal or non federal funders); (5) the quality of proposed competitive processes for selection of contractors, subgrantees, and subawardees. Note: In evaluating applicants under this factor, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant).	5

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Proposals will be scored high, medium, or low against each of the evaluation factors using a numerical scale of zero through 5, with zero being low and 5 being high. Factors will be weighted equally with the exception of factor 4 which will receive double weighting.

5.2. REVIEW AND SELECTION PROCESS

EPA will evaluate proposals using the selection criteria above based on the information provided in the proposal and related attachments. Proposals will be reviewed by a panel of EPA staff and final decisions will be made by EPA management.

5.3. ANTICIPATED ANNOUNCEMENT AND AWARD DATES

Award announcements are expected in Fall 2007.

Section 6: AWARD ADMINISTRATION INFORMATION

6.1: AWARD NOTICES

Successful applicants will receive an official notice of award from EPA's Grants Administration Division.

EPA will announce successful recipients on the U.S. EPA smart growth web site (www.epa.gov/smartgrowth). This information will be posted within 30 days after U.S. EPA's Grant Administration Division issues a written offer of award to the recipient. U.S. EPA anticipates that awards will be announced in Fall 2007.

Unsuccessful applicants will be notified via mail or e-mail in Fall 2007.

Applicants who do not pass threshold or eligibility screening will be notified via e-mail within 15 calendar days of the determination of their ineligibility. Any disputes regarding funding decisions will be resolved in accordance with the dispute procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures can be obtained from the EPA contacts listed under Section 7. They also can be accessed directly on-line at the following address: <http://a257.g.akamaitech.net/7/257/2422/01jan20051800/edocket.access.gpo.gov/2005/05-1371.htm>.

U.S. EPA reserves the right to reject all applications and make no awards.

6.2: ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

6.2 (a) Pre-award review for administrative capability

Non-profit applicants recommended for funding under this announcement are subject to a pre-award review for administrative capability consistent with Sections 8b, 8c and 9d of EPA Order 5700.8 (Policy on Assessing Capabilities of Non-Profit Applicants for Managing Assistance Awards). A paper copy is available from the EPA contacts listed under Section 7. The policy can be accessed on-line at http://www.epa.gov/ogd/grants/award/5700_8.pdf). Non-profit applicants that qualify for funding may, depending on the size of the award, be required to fill out and submit to EPA's Grants Management Office the Administrative Capabilities Form contained in Appendix A of that policy. This review may include assessing the adequacy of administrative systems for financial management, procurement, property management, reporting and record-keeping.

6.2 (b) Compliance with standard terms and conditions

All successful applicants must comply with the standard requirements, terms and conditions of EPA assistance agreements. Funded activities must be allowable under EPA statutory authority (see section 3).

6.2 (c) Pre-award costs

Applicants are not authorized to begin performance on a project until they have received their official award document from the EPA's grant office. No pre-award costs may be incurred without EPA approval; pre-award costs are undertaken at the recipient's risk.

6.3: REPORTING

Recipients will be required to submit quarterly reports detailing their progress towards achieving agreed-upon products and outcomes. If their projects involve program income, quarterly reports will be required on how much income has been earned, from what activities, and how it is being spent. Recipients will have to participate in annual reviews of their projects with their U.S. EPA project officer. A project officer will be designated at the time of award and will work in partnership with the recipient throughout the life of the assistance agreement. Recipients will be required to submit a final technical report 90 days after the expiration of their assistance agreement.

Section 7: AGENCY CONTACTS

If you have questions about this solicitation, please contact:

Mary Kay Bailey
USEPA—West Building
1301 Constitution Avenue NW
Room 1416K
Washington, DC 20004
bailey.marykay@epa.gov
202-566-2859

Section 8: OTHER INFORMATION

Both initial proposals and formal funding applications (SF 424's) are subject to the Freedom of Information Act. This means that anyone can request, and receive, copies of them. Therefore, applicants should clearly mark information they consider confidential. In accordance with 40 CFR 2.203, applicants may claim all or part of their applications/proposals as confidential business information. U.S. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark any portion of their applications/proposals they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant that would otherwise be required by 40 CFR 2.204(c)(2) prior to disclosure.